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**JAN 13 2005**

IN THE UNITED STATES PATENT AND  
TRADEMARK OFFICE

Applicant: ROSENDORF, CHARLES                      Atty. Docket No: 1597-1070  
Serial No: 09/848,191                                      Examiner: WASYLCHAK, Steven R.  
Filed: May 3, 2001    Group Art Unit: 3624

For:                      SECURITIES ANALYSIS METHOD AND SYSTEM

Mail Stop AMENDMENT  
Commissioner for Patents  
United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Re: Office Paper mailed October 13, 2004

AMENDMENT UNDER 37 C.F.R. §1.111

Sir:

This amendment is in response to the Office Action mailed October 13, 2004, to which a response is due by January 13, 2005. Therefore, this response is timely filed.

**RECEIVED  
CENTRAL FAX CENTER****JAN 13 2005**LAW OFFICES OF  
**MITCHELL P. NOVICK**66 PARK STREET  
MONTCLAIR, NEW JERSEY 07042  
FAX (973) 744-2227  
(973) 744-5150**PLEASE DELIVER THE FOLLOWING MATERIAL AS SOON AS POSSIBLE**

**AMENDMENT**  
TO: Mail Stop ~~PATENT APPLICATION~~, Technology Center 3600  
TELECOPIER NO.: 703/872-9306 DATE: January 13, 2005  
FROM: Mitchell P. Novick, Esq. FILE NO. 1597-1070  
RE: ROSENDORF - S/N 09/848,191 \*\*\* AMENDMENT and IDS \*\*\*  
NUMBER OF PAGES (including this sheet): 23

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## MESSAGE:

Enclosed are:

- (1) Transmittal form;
- (2) Fee Transmittal Form (with payment by credit card);
- (3) Amendment dated 01/13/2005; and
- (4) Information Disclosure Statement

If you have any questions, please contact me. Thank you.

Mitchell P. Novick

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PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|   |                      |                           |           |
|---|----------------------|---------------------------|-----------|
| <b>TRANSMITTAL<br/>FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number   | 09/848,191                |           |
|   | Filing Date          | 05/03/2005                |           |
|   | First Named Inventor | ROSENDORF, Charles Hillel |           |
|   | Art Unit             | 3624                      |           |
|   | Examiner Name        | WASYLOCHAK, Steven R.     |           |
| Total Number of Pages in This Submission  | 22                   | Attorney Docket Number    | 1597-1070 |

| ENCLOSURES (Check all that apply)  |  |   |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><input checked="" type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Reply to Missing Parts/<br>Incomplete Application<br><input type="checkbox"/> Reply to Missing Parts<br>under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____<br><input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance Communication to TC<br><input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to TC<br>(Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input type="checkbox"/> Other Enclosure(s) (please identify<br>below): |
| Remarks _____  |  |   |

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|              |                                   |          |        |
|--------------|-----------------------------------|----------|--------|
| Firm Name    | Law Offices Of Mitchell P. Novick |          |        |
| Signature    | <i>Mitchell P. Novick</i>         |          |        |
| Printed name | Mitchell P. Novick, Esq.          |          |        |
| Date         | 01/13/2005                        | Reg. No. | 30,305 |

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

|                       |                           |      |            |
|-----------------------|---------------------------|------|------------|
| Signature             | <i>Mitchell P. Novick</i> |      |            |
| Typed or printed name | Mitchell P. Novick        | Date | 01/13/2005 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (12-04v2)

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Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

# FEE TRANSMITTAL

## For FY 2005

☒ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$) 180.00

### Complete if Known

Application Number 09/848,191  
Filing Date 05/03/2001  
First Named Inventor ROSENDORF, Charles Hillel  
Examiner Name WASYLCHAK, Steven R.  
Art Unit 3624  
Attorney Docket No. 1597-1070

### METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): \_\_\_\_\_

☐ Deposit Account Deposit Account Number: \_\_\_\_\_ Deposit Account Name: \_\_\_\_\_

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee  
☐ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☐ Credit any overpayments

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### FEE CALCULATION

#### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

| Application Type | FILING FEES |                       | SEARCH FEES |                       | EXAMINATION FEES |                       | Fees Paid (\$) |
|------------------|-------------|-----------------------|-------------|-----------------------|------------------|-----------------------|----------------|
|                  | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)         | Small Entity Fee (\$) |                |
| Utility          | 300         | 150                   | 500         | 250                   | 200              | 100                   |                |
| Design           | 200         | 100                   | 100         | 50                    | 130              | 65                    |                |
| Plant            | 200         | 100                   | 300         | 150                   | 160              | 80                    |                |
| Reissue          | 300         | 150                   | 500         | 250                   | 600              | 300                   |                |
| Provisional      | 200         | 100                   | 0           | 0                     | 0                | 0                     |                |

#### 2. EXCESS CLAIM FEES

##### Fee Description

Each claim over 20 (including Reissues)  
 Each independent claim over 3 (including Reissues)  
 Multiple dependent claims

|  | Fee (\$) | Small Entity Fee (\$) |
|--|----------|-----------------------|
| Each claim over 20 (including Reissues)            | 50       | 25                    |
| Each independent claim over 3 (including Reissues) | 200      | 100                   |
| Multiple dependent claims                          | 360      | 180                   |

Total Claims 39 Extra Claims Fee (\$)

31 - 20 HP = 0 x 1 = \$0

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims 4 Extra Claims Fee (\$)

4 - 3 HP = 0 x 1 = \$0

HP = highest number of independent claims paid for, if greater than 3.

#### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets Extra Sheets Number of each additional 50 or fraction thereof Fee (\$)

100 - 100 = 0 / 50 = 0 (round up to a whole number) x 125 = \$0

#### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Information Disclosure Statement

Fees Paid (\$)

\$180

### SUBMITTED BY

Signature Mitchell P. Novick Registration No. 30,305 Telephone 973-744-5150  
 Name (Print/Type) Mitchell P. Novick, Esq. Date 01/13/2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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